

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Tetsuji TOGAWA et al. : **Mail Stop: PCT**  
Serial No. NEW : Attorney Docket No. 2005-0993A  
Filed June 16, 2005 :

SUBSTRATE HOLDING MECHANISM,  
SUBSTRATE POLISHING APPARATUS  
AND SUBSTRATE POLISHING METHOD  
[Corresponding to PCT/JP2003/017032  
Filed December 26, 2003]

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on attached form PTO-1449 and any additional information identified below in paragraph 3. A legible copy of each reference listed on the Form PTO-1449 is enclosed, except a copy is not provided for:

- ☒ each U.S. Patent and U.S. Patent application publication;
- ☐ each reference previously cited in the international application  
PCT/\_\_\_\_\_; and/or
- ☐ each reference previously cited in prior parent application Serial No.  
\_\_\_\_\_.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the  
above-entitled application, **or**

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

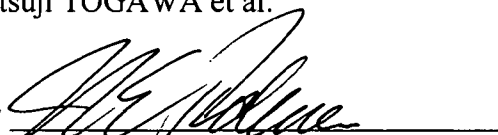
- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
- b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.
4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
  - b. ☒ a foreign patent office search report (in the English language) submitted herewith,
  - c. ☒ the concise explanation contained in the specification of the present application at pages 2 and 3,
  - d. ☒ the concise explanation set forth in the attached English language abstract,
  - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☒ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Tetsuji TOGAWA et al.

By



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FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: June 16, 2005

ATTY DOCKET NO.  
2005-0993ASERIAL NO.  
NEWAPPLICANT  
Tetsuji TOGAWA et al.FILING DATE  
June 16, 2005

GROUP

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
/MR/	AA	6,468,136	10/2002	Lum et al.			
	AB	2002/187728	12/2002	Hayashi et al.			
	AC	3,611,654	10/1971	Weber et al.			
	AD	2002/193050	12/2002	Sharan			
	AE	5,762,544	6/1998	Zuniga et al.			
	AF	5,645,474	7/1997	Kubo et al			
	AG	6,273,803	8/2001	Wang et al			
	AH	2002/042246	4/2002	Togawa et al			
/MR/	AI	2002/081950	6/2002	Sharan			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
/MR/	AJ	0 776 730 A1	6/1997	EP			
	AK	0 988 931 A2	3/2000	EP			
	AL	11-347936	12/1999	JP			abstract
	AM	1 197 292 A2	4/2002	EP			
	AN	1 075 897 A1	2/2001	EP			
	AO	2001-267275	9/2001	JP			abstract
	AP	2000-228377	8/2000	JP			abstract
/MR/	AQ	2993497	10/1999	JP			X

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

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EXAMINER

/Maurina Rachuba/

DATE CONSIDERED

03/15/2007

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.